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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Peter Szor  
Assignee: Symantec Corporation  
Title: KERNEL MODE OVERFLOW ATTACK PREVENTION SYSTEM AND METHOD  
Serial No.: 10/781,207 Filed: February 17, 2004  
Examiner: Unknown Group Art 2182  
Unit:  
Docket No.: SYMC1048

Monterey, CA  
May 25, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER §1.97(b)**

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each is enclosed) to the attention of the Examiner.

**U.S. PATENT DOCUMENTS**

|    | DOCUMENT NUMBER | DATE     | NAME             |
|----|-----------------|----------|------------------|
| 1) | 5,696,822       | 12/09/97 | Nachenberg       |
| 2) | 5,822,517       | 10/13/98 | Dotan            |
| 3) | 6,301,699       | 10/09/01 | Hollander et al. |
| 4) | 6,357,008       | 03/12/02 | Nachenberg       |

**OTHER DOCUMENTS**

|    |  |
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| 1) | Szor, P., U.S. Patent Application Serial No. 10/360,341, filed February 6, 2003, entitled "SHELL CODE BLOCKING SYSTEM AND METHOD". |
| 2) | Szor, P., U.S. Patent Application Serial No. 10/371,945, filed February 21, 2003, entitled "SAFE MEMORY SCANNING".                 |



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| 3)  | Szor, P., U.S. Patent Application Serial No. 10/464,091, filed June 17, 2003, entitled "SEND BLOCKING SYSTEM AND METHOD".  |
| 4)  | Szor, P., U.S. Patent Application Serial No. 10/611,472, filed June 30, 2003, entitled "SIGNATURE EXTRACTION SYSTEM AND METHOD".   |
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| 6)  | Szor, P., "Attacks on WIN32", Virus Bulletin Conference, October 1998, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 57-84.  |
| 7)  | Szor, P., "Memory Scanning Under Windows NT", Virus Bulletin Conference, September 1999, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 1-22.   |
| 8)  | Szor, P., "Attacks on WIN32-Part II", Virus Bulletin Conference, September 2000, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 47-68.  |
| 9)  | Chien, E. and Szor, P., "Blended Attacks Exploits, Vulnerabilities and Buffer-Overflow Techniques In Computer Viruses", Virus Bulletin Conference, September 2002, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 1-36.   |
| 10) | Buyse, J., "Virtual Memory: Windows NT® Implementation", pp. 1-15 [online]. Retrieved on April 16, 2003. Retrieved from the internet:<br><a href="http://people.msoe.edu/~barnicks/courses/cs384/papers19992000/buysej-Term.pdf">URL:http://people.msoe.edu/~barnicks/courses/cs384/papers19992000/buysej-Term.pdf</a> . |
| 11) | Dabak, P., Borate, M. and Phadke, S., "Hooking Windows NT System Services", pp. 1-8 [online]. Retrieved on April 16, 2003. Retrieved from the internet:<br><a href="http://www.windowslibrary.com/Content/356/06/2.html">URL:www.windowslibrary.com/Content/356/06/2.html</a> .  |
| 12) | "How Entercept Protects: System Call Interception", pp. 1-2 [online]. Retrieved on April 16, 2003. Retrieved from the internet:<br><a href="http://www.entercept.com/products/technology/kernekmade.asp">URL:http://www.entercept.com/products/technology/kernekmade.asp</a> . No author provided.                       |
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| 14) | Kath, R., "The Virtual-Memory Manager in Windows NT", pp. 1-11 [online]. Retrieved on April 16, 2003. Retrieved from the internet:<br><a href="http://msdn.microsoft.com/library/en-us/dngenlib/html/msdnntvmm.asp?frame=true">URL:http://msdn.microsoft.com/library/en-us/dngenlib/html/msdnntvmm.asp?frame=true</a> .  |
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| 16) | Szor, P., "The New 32-bit Medusa", Virus Bulletin, December 2000, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 8-10.  |

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| 17) | Szor, P., "Shelling Out", Virus Bulletin, February 1997, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 6-7.  |
| 18) | McCorkendale, B. and Szor, P., "Code Red Buffer Overflow", Virus Bulletin, September 2001, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 4-5.  |
| 19) | Nachenberg, C., "A New Technique for Detecting Polymorphic Computer Viruses", University of California, Los Angeles, 1995.   |
| 20) | "INFO: CreateFileMapping() SEC_* Flags", pp.1-2 [online]. Retrieved on September 24, 2003. Retrieved from the internet: URL: <a href="http://support.microsoft.com/default.aspx?scid=http://support.microsoft.com:80/support/kb/articles/Q108/2/31.asp&amp;NoWebContent=1">http://support.microsoft.com/default.aspx?scid=http://support.microsoft.com:80/support/kb/articles/Q108/2/31.asp&amp;NoWebContent=1</a> . No author provided. |
| 21) | "CreateFileMapping", pp. 1-5 [online]. Retrieved on September 10, 2003. Retrieved from the internet: URL: <a href="http://msdn.microsoft.com/library/en-us/fileio/base/createfilemapping.asp?frame=true">http://msdn.microsoft.com/library/en-us/fileio/base/createfilemapping.asp?frame=true</a> . No author provided.  |

A PTO form 1449 listing these documents is enclosed.

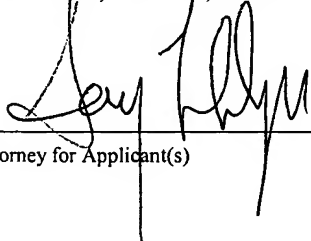
Citation of the above documents shall not be construed as:

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2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

The Commissioner is hereby authorized to charge any fees required for consideration of this Information Disclosure Statement, and to credit any overpayment of fees to Deposit Account No. 50-0553.

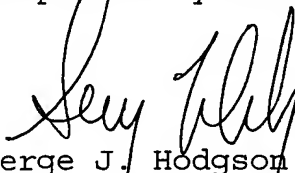
#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on May 25, 2004.

  
Attorney for Applicant(s)

May 25, 2004  
Date of Signature

Respectfully submitted,

  
Serge J. Hodgson  
Attorney for Applicant(s)  
Reg. No. 40,017  
(831) 655-0880

Form PTO-1449

Atty Docket No.

Serial No.

SYMC1048

10/781,207

## INFORMATION DISCLOSURE CITATION

## IN AN APPLICATION

Applicant(s)

Peter Szor

Filing Date

February 17, 2004

Group

2182

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|----|-----------------|----------|------------------|-------|----------|-------------------------------|
|                     | AA | 5,696,822       | 12/09/97 | Nachenberg       | 380   | 4        |                               |
|                     | AB | 5,822,517       | 10/13/98 | Dotan            | 395   | 186      |                               |
|                     | AC | 6,301,699       | 10/09/01 | Hollander et al. | 717   | 4        |                               |
|                     | AD | 6,357,008       | 03/12/02 | Nachenberg       | 713   | 200      |                               |
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## FOREIGN PATENT DOCUMENTS

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|  |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | YES         | NO |
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Examiner

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|  |  |  |  |                                  |  |                          |  |
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| <b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b> |  |  |  | Applicant(s)<br>Peter Szor       |  |                          |  |
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|                          |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | YES         | NO |
|                          | AL |                 |      |         |       |          |             |    |
|                          | AM |                 |      |         |       |          |             |    |
|                          | AN |                 |      |         |       |          |             |    |
|                          | AO |                 |      |         |       |          |             |    |
|                          | AP |                 |      |         |       |          |             |    |

| OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i> |    |   |
|---|----|---|
|   | AR | Szor, P., "The New 32-bit Medusa", Virus Bulletin, December 2000, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 8-10.                         |
|   | AS | Szor, P., "Shelling Out", Virus Bulletin, February 1997, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 6-7.                                   |
|   | AT | McCorkendale, B. and Szor, P., "Code Red Buffer Overflow", Virus Bulletin, September 2001, Virus Bulletin Ltd, The Pentagon, Abingdon, Oxfordshire, England, pp. 4-5. |

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| <b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b> |  |  |  | Applicant(s)<br>Peter Szor       |  |                          |  |
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| U.S. PATENT DOCUMENTS |    |                 |      |      |       |          |                               |
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|                       | AJ |                 |      |      |       |          |                               |
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| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |          |             |    |
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|                          | AP |                 |      |         |       |          |             |    |

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| AT   | "CreateFileMapping", pp. 1-5 [online]. Retrieved on September 10, 2003. Retrieved from the internet:<br><u>URL: <a href="http://msdn.microsoft.com/library/en-us/fileio/base/createfilemapping.asp?frame=true">http://msdn.microsoft.com/library/en-us/fileio/base/createfilemapping.asp?frame=true</a></u> . No author provided.  |

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